



NEW YORK  
REGIONAL OFFICE

UNITED STATES  
**SECURITIES AND EXCHANGE COMMISSION**  
BROOKFIELD PLACE, 200 VESEY STREET, SUITE 400  
NEW YORK, NY 10281-1022

February 7, 2022

**By ECF**

Hon. Katherine Polk Failla  
United States District Judge  
United States District Court for the  
Southern District of New York  
40 Foley Square  
New York, NY 10007

Re: *SEC v. Mattessich*, 18 Civ. 5884 (KPF) (S.D.N.Y.)

Dear Judge Failla:

Plaintiff Securities and Exchange Commission (the “Commission”) respectfully writes to advise the Court that the Commission and Defendant Adam Mattessich (“Mattessich”) have reached an additional set of stipulations concerning the introduction of evidence related to Mattessich’s testimony in an investigation by the Financial Industry Regulatory Authority in December 2013. A copy of these stipulations is attached hereto as Exhibit A.

Respectfully submitted,

/s/ Lee A. Greenwood

Lee A. Greenwood  
Senior Trial Counsel

cc: All counsel of record by ECF